

PATENT



(Practitioner's Docket No. IN-5455)

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Keith L. SALTER, et al.

US Serial No. 10/064,684

Filed: August 7, 2002

Group Art Unit: Not assigned

Examiner: Not assigned

Commissioner of Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [], filed on []. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

☐ There are no foreign language documents listed on Form PTO-1449.

Information Disclosure Statement
Page 2

- ☒ The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references. **4,450,257 English for EP101838.**
- ☒ English language abstract for the following non-English references are enclosed.
JP57149374
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

Information Disclosure Statement
Page 3

- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Reg. No.: **42,906**



SIGNATURE OF ATTORNEY

Michael F. Morgan

Type or print name of attorney

Tel. No.: (**248**) **948-2355**

BASF Corporation
26701 Telegraph Road

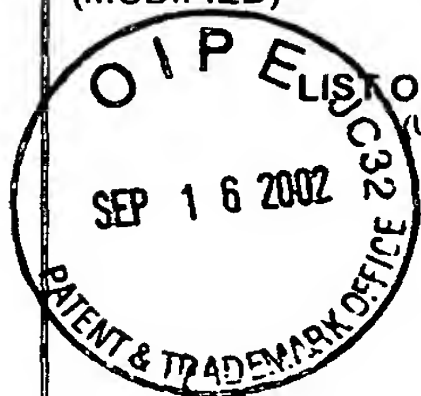
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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5455

LIST OF ART CITED BY APPLICANT
(Use sever of sheets if necessary)

In re Application of: SALTER et al.

Serial No.: 10/064,684

Filed: August 7, 2002

U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,859,154	1/12/99	Temple et al.	525	509	9/26/97
	AB	5,252,363	10/12/93	Anderson	427	386	1/29/92
	AC	5,322,870	6/21/94	Lin	524	132	12/29/92
	AD	4,026,815	5/31/77	Kallfass et al.	252	180	6/20/74
	AE	3,630,790	12/28/71	Schmidt et al.	148	6.15R	5/13/69
	AF	4,450,257	5/22/84	Behmel et al.	525	437	7/29/82
	AG	6,046,270	4/4/00	Roesler et al.	524	590	10/14/98
	AH	5,321,083	6/14/94	Hanada et al.	525	102	5/12/92
	AI	6063501	5/16/00	Larrow et al.	428	461	4/5/93
	AJ	3438800	4/15/69	Johnson	495	662	10/12/65
	AK	4546046	10/8/85	Etzell et al.	428	460	4/26/85
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EXAMINER

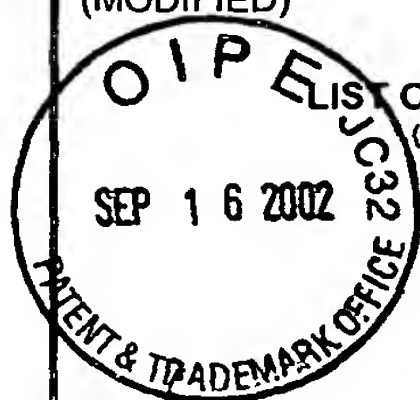
DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Applicant has modified this form by deleting the word "prior".

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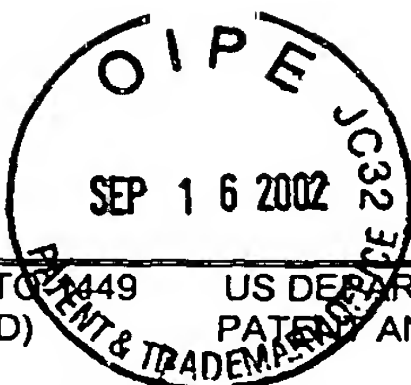
Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	0 376 591 A1	19.12.89	EP	C08F	30/02	X	
	AB	0 101 838 A1	05.07.83	EP	C08G	63/68		X
	AC	0 385 880 A2	02.03.90	EP	C09D	5/08	X	
	AD	0 812 933 A2	11.06.97	EP	C23C	22/08	X	
	AF	WO95/00680	05.01.95	WO	C23F	11/18	X	
	AG	DE 19923084	23.11.00	DE	C23C	22/36		X
	AH	DE 19755349	17.06.99	DE	C23F	11/04		X
	AI	JP2000198963	00.07.18	JP	C09D	175/04		X
	AJ	JP6426534	89.01.27	JP	C07C	69/003		X
	AK	JP2191691	90.07.27	JP	C09J	5/00		X
	AL	JP2150479	90.06.08	JP	C09J	5/00		X
	AM	JP60197758	85.10.07	JP	C08L	71/00		X
	AN	JP6254772	87.03.10	JP	C09D	5/08		X
	AO	JP6366266	88.03.24	JP	C09D	5/06		X
	AP	JP11302860	99.11.02	JP	C23C	22/00		X
	AQ	JP61166863	86.07.28	JP	C09D	3/72		X
	AR	JP57149374	82.09.14	JP	C09J	6/16		X
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

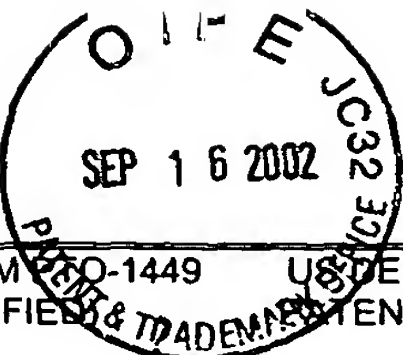
AA	Derwent Accession No. 1982-89648E, English Language Abstract for JP 57149374, 82.09.14
AB	BASF Corp., Newton, USSN 09/599,693, filed 06/22/2000, pages 1-19, and Abstract.
AC	BASF Corp., Newton, USSN 09/599,695, filed 06/22/2000, pages 1-28, and Abstract.
AD	English Abstract for JP57149374
AE	Derwent Accession No. 1999-348 369/30, English Language Abstract for DE 19755349, HENKEL KGAA, 1997.12.12.
AF	Derwent Accession No. 2001-072040/09, English Language Abstract for DE 19923084, HENKEL KGAA, 1999.05.20
AG	Derwent Accession No. 86-236388/36, English Language Abstract for JP 1166863, DAINIPPON INK CHEM KK, 18.01.85
AH	Derwent Accession No. 2000-033869/03, English Language Abstract for JP 11302860, NIPPON PAINT CO. LTD, 1998.04.23
AI	Derwent Accession No. 88-122697/18, English Language Abstract for JP 3066266, DAIICHI KOGYO SEIYAKU, 05.09.86
AJ	Derwent Accession No. 87-106182/15, English Language Abstract for JP 2054772, SHINTO PAINT KK, 04.09.85
AK	Derwent Accession No. 85-287207/46, English Language Abstract for JP 079758, ASAHI DENKA KOGYO. 21.03.84
AL	Derwent Accession No. 90-221274/29, English Language Abstract for JP 2150479, JAPAN SYNTHETIC RUBBER, 30..11.88
AM	Derwent Accession No. 90-271598/36, English Language Abstract for JP 2191691, DENKI KAGAKU KOGYO KK, 1989
AN	Derwent Accession No. 89-073405/10, English Language Abstract for JP 1026534, ITO SEIYU KK, 22.07.87
AO	Derwent Accession No. 2000-621074/60, English Language Abstract for JP 2000198963, TAKEDA CHEM IND LTD, 1998.12.28
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AA	Lubrizol Corporation Chemical, entitled "Paint and Coating Additives", pp. 1-3.
AB	Lubrizol Coating Additives, entitled "Adhesion Promoter Basics", pp. 1-3.
AC	Lubrizol Coating Additives, entitled "Formulating Guidelines for Adhesion Promoters", pp.1-2.
AD	Lubrizol Coating Additives, entitled "Selecting an Adhesion Promoter for Polyester Coil Coatings", pp.1
AE	Lubrizol Coating Additives, entitled "Preparing Water-Dispersible Amine Salts of Lubrizol Adhesion Promoters", pp.1-2
AF	Lubrizol Coating Additives, entitled "Free Acid of Complex Alkyl Phosphate Ester Lubrizol ®2061", pp 1.
AG	Lubrizol Coating Additives, entitled "Free Acid of Complex Alkyl Phosphate Ester Lubrizol ®2062", pp 1.
AH	Lubrizol Coating Additives, entitled "Free Acid of Complex Alkyl Phosphate Ester Lubrizol ®2063", pp 1.
AI	Lubrizol Coating Additives, entitled "Formulating Direct-To-Metal Coatings Lubrizol ®2061", pp 1.
AJ	Lubrizol Coating Additives, entitled "FDA Compliant Coating Using Lubrizol ®2063", pp 1.
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